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17157 U.S. PTO

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No.	384848011US
First Inventor	Jack Zezhong Peng
Title	HIGH DENSITY SEMICONDUCTOR MEMORY CELL AND MEMORY ARRAY USING A SINGLE TRANSISTOR AND HAVING VARIABLE GATE OXIDE BREAKDOWN
Express Mail Label No.	5V242594596US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450		
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>32</u>] (preferred arrangement set forth below) - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R &amp; D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>20</u>]</p> <p>5. Oath or Declaration [Total Pages <u>4</u>] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for a continuation/divisional with Box 18 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies</p> <p><b>ACCOMPANYING APPLICATIONS PARTS</b></p> <p>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>10. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)</p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input type="checkbox"/> Other:</p>		
<p>18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:</p> <p><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input checked="" type="checkbox"/> Continuation-in-part (CIP) of prior application No: <u>10 / 677,613</u></p> <p>Prior application Information: Examiner _____ Group / Art Unit: _____</p> <p>For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p> <p><input type="checkbox"/> Claims the benefit of _____ Application No. _____</p>			
<b>19. CORRESPONDENCE ADDRESS</b>			
<input checked="" type="checkbox"/> Customer Number	<u>25096</u> or <input type="checkbox"/> Correspondence address below		
Name			
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Name (Print/Type)	Chun M. Ng	Registration No. (Attorney/Agent)	36,878
Signature		Date	1/26/04

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<h1>FEE TRANSMITTAL</h1> <h2>for FY 2004</h2> <p>Effective 10/01/2003. Patent fees are subject to annual revision.</p>		<b>Complete if Known</b>	
		Express Mail No.	EV343594596US
		Application Number	
		Filing Date	
		First Named Inventor	Jack Zezhong Peng
		Examiner Name	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Art Unit	
<b>TOTAL AMOUNT OF PAYMENT</b> (\$) <del>385.00</del> 425.00		Attorney Docket No.	384848011US

<b>METHOD OF PAYMENT (check all that apply)</b>				<b>FEE CALCULATION (continued)</b>			
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None				<b>3. ADDITIONAL FEES</b>			
<input type="checkbox"/> Deposit Account: Deposit Account Number <u>50-0665</u> Deposit Account Name _____ The Commissioner is authorized to: (check all that apply) <input type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.				<b>Large Entity   Small Entity</b>			
<b>FEE CALCULATION</b>							
<b>1. BASIC FILING FEE</b>							
Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code	Fee Code	Fee Description	Fee Paid
Code (\$)	Code (\$)						
1001 770	2001 385	Utility filing fee	385	1051 130	2051 65	Surcharge - late filing fee or oath	
1002 340	2002 170	Design filing fee		1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1003 530	2003 265	Plant filing fee		1053 130	1053 130	Non-English Specification	
1004 770	2004 385	Reissue filing fee		1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1205 160	2005 80	Provisional filing fee		1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
<b>SUBTOTAL (1) (\$)</b> 385				1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
<b>2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE</b>				1251 110	2251 55	Extension for reply within first month	
Total Claims <u>14</u> - 20** = <u>0</u> X <u>9</u> = <u>0</u>				1252 420	2252 210	Extension for reply within second month	
Independent Claims <u>3</u> - 3** = <u>0</u> X <u>43</u> = <u>0</u>				1253 950	2253 475	Extension for reply within third month	
Multiple Dependent _____ = _____				1254 1,480	2254 740	Extension for reply within fourth month	
<b>Large Entity   Small Entity</b>				1255 2,010	2255 1,005	Extension for reply within fifth month	
Fee Code (\$)	Fee Code (\$)	Fee Description		1401 330	2401 165	Notice of Appeal	
1202 18	2202 9	Claims in excess of 20		1402 330	2402 165	Filing a brief in support of an appeal	
1201 86	2201 43	Independent claims in excess of 3		1403 290	2403 145	Request for oral hearing	
1203 290	2203 145	Multiple dependent claim, if not paid		1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1204 86	2204 43	** Reissue independent claims over original patent		1452 110	2452 55	Petition to revive - unavoidable	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent		1453 1,330	2453 665	Petition to revive - unintentional	
<b>SUBTOTAL (2) (\$)</b> 0				1501 1,330	2501 665	Utility issue fee (or reissue)	
				1502 480	2502 240	Design issue fee	
				1503 640	2503 320	Plant issue fee	
				1460 130	1460 130	Petitions to the Commissioner	
				1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
				1806 180	1806 180	Submission of Information Disclosure Stmt	
				8021 40	8021 40	Recording each patent assignment per property (times number of properties)	40
				1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
				1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
				1801 770	2801 385	Request for Continued Examination (RCE)	
				1802 900	1802 900	Request for expedited examination of a design application	
				Other fee (specify) _____			
				*Reduced by Basic Filing Fee Paid <b>SUBTOTAL (3) (\$)</b> 40			

\*\*or number previously paid, if greater; For Reissues, see above

<b>SUBMITTED BY</b>		<b>(Complete if applicable)</b>	
Name (Print/Type)	Chun M. Ng	Registration No. (Attorney/Agent)	36,878
Signature		Telephone	206-359-8000
		Date	1/26/04

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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